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| FORM PCT/US-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE (REV. 2-2005) | | ATTORNEY'S DOCKET NUMBER WSTR-0020C |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 35 U.S.C. 371 | | U.S. APPLICATION NO. (If known, see 37 CFR 1.5) 10/559603 |
| INTERNATIONAL APPLICATION NO. PCT/US2004/019603 | INTERNATIONAL FILING DATE 18 June 2004 | PRIORITY DATE CLAIMED 18 June 2003 |

TITLE OF INVENTION
Methods for Inducing an Immune Response via Oral Administration of an Adenovirus

APPLICANT(S) FOR DO/EO/US
ERTL, Hildegund C. J.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A power of attorney and/or change of address letter.
19. ☒ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. **EV626224846US**
23. ☒ Other items or information:
 - 1) Courtesy copy of the International Application;
 - 2) Statement to support filing and submission in accordance with 37 CFR 1.821-1.825;
 - 3) An unexecuted oath or declaration of the inventor(s) (35 U.S.C.371 (c)(4));
 - 4) Return post card.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

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| U.S. APPLICATION NO (if known, see 37 CFR 1.5) 10/559603 | | INTERNATIONAL APPLICATION NO. PCT/US2004/019603 | | ATTORNEY'S DOCKET NUMBER WSTR-0020C | |
| The following fees are submitted: | | | | CALCULATIONS | PTO USE |
| 24. <input checked="" type="checkbox"/> Basic national fee | | \$300 | | \$ \$300.00 | |
| 25. <input checked="" type="checkbox"/> Examination fee If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4). All other situations. | | \$100 \$200 | | \$ \$200.00 | |
| 26. <input checked="" type="checkbox"/> Search fee | | \$100 \$400 \$500 | | \$ \$100.00 | |
| Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority | | | | | |
| International Search Report prepared and provided to the Office | | | | | |
| All other situations. | | | | | |
| TOTAL OF 24, 25 and 26 = | | | | \$ \$600.00 | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole) | RATE | | |
| 51 - 100 = | 0 /50 = | 0 | x \$250.00 | \$ \$0.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 22 - 20 = | 2 | x \$50.00 | \$ \$100.00 | |
| Independent claims | 4 - 3 = | 1 | x \$200.00 | \$ \$200.00 | |
| MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00 | | | | \$ \$0.00 | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ \$900.00 | |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ \$450.00 | |
| SUBTOTAL = | | | | \$ \$450.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ \$0.00 | |
| TOTAL NATIONAL FEE = | | | | \$ \$450.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property + | | | | \$ \$0.00 | |
| TOTAL FEES ENCLOSED = | | | | \$ \$450.00 | |
| | | | | Amount to be | \$ |
| | | | | Amount to be | \$ |

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. **50-1619**. A duplicate copy of this sheet is enclosed.
- d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Licata & Tyrrell P.C.
66 East Main Street
Marlton, New Jersey 08053
Tel: 856-810-1515
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SIGNATURE

Jane Massey Licata

NAME

32,257

REGISTRATION NUMBER

10/559603

WSTR-0020C

IAP9 Rec'd PCT/PTO 02 DEC 2005

CERTIFICATE OF EXPRESS MAILING

"Express Mail" Label No. EV626224846US

Date of Deposit: December 2, 2005

I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.A. 1.10 on the date indicated above and is addressed to the Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

- 1) Transmittal Letter (in duplicate);
- 2) PCT International Application;
- 3) International Search Report;
- 4) Unexecuted Declaration and Power of Attorney;
- 5) Statement to Support Filing and Submission in Accordance with 37 CFR §1.821-1.825;
- 6) A computer-readable form of the sequence listing;
- 7) Paper copy of Sequence Listing;
- 8) USPTO Credit Card Payment Form authorizing payment in the amount of \$450.00 for filing fees;
- 9) Return Postcard.

Jane Massey Licata
Jane Massey Licata

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attorney Docket No.: WSTR-0020C
Inventors: Hildegund C. J. Ertl
Serial No.: Not yet assigned
Filing Date: Herewith
Examiner: Not yet assigned
Group Art Unit: Not yet assigned
Title: Methods for Inducing an Immune
Response via Oral Administration of
an Adenovirus

"Express Mail" Label No. EV626224846US
Date of Deposit December 2, 2005

I hereby certify that this paper is being deposited
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on the date indicated above and is addressed to the
U.S. Patent and Trademark Office, P.O. Box 1450,
Alexandria, VA 22313

By Jane Massey Licata
Typed Name: Jane Massey Licata, Reg. No. 32,257

Mail Stop PCT
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

Dear Sir:

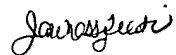
**STATEMENT TO SUPPORT FILING AND SUBMISSION IN ACCORDANCE
WITH 37 CFR § 1.821 THROUGH 1.825**

- (XX) I hereby state, in accordance with the requirements of
37 C.F.R. §1.821(f), that the contents of the paper
and computer readable copies of the Sequence Listing,
submitted in accordance with **37 CFR §1.821(c)** and **(e)**,
respectively are the same.
- () I hereby state that the submission filed in accordance
with **37 CFR §1.821(g)** does not include new matter.
- () I hereby state that the submission filed in accordance
with **37 CFR §1.821(h)** does not include new matter or

go beyond the disclosure in the international application as filed.

- () I hereby state that the amendments, made in accordance with **37 CFR §1.825(a)**, included in the substitute sheet(s) of the Sequence Listing were made to conform with the current Sequence Listing rules. I hereby state that the substitute sheet(s) of the Sequence Listing does not include new matter.
- () I hereby state that the substitute copy of the computer readable form, submitted in accordance with **37 CFR §1.825(b)**, is the same as the amended Sequence Listing.
- () I hereby state that the substitute copy of the computer readable form, submitted in accordance with **37 CFR §1.825(d)**, contains identical data to that originally filed.

Respectfully submitted,



Jane Massey Licata
Registration No. 32,257

Date: **December 2, 2005**

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